FORM PTO-1449 U.S. Department of Commerce Attorney Docket Number Serial No. Patent and Trademark Office 5051-416dv To be assigned LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary) Applicants: Boris I. Yakobson Filing Date Group Concurrently herewith U. S. PATENT DOCUMENTS Filing Date Document Examiner Initial Number Date Name Class Subclass Appropriate 08/11/93 PL 5,401,975 03/28/95 Ihara et al. 250 492.3 AAPL 173 01/13/95 AΒ 5,482,601 01/09/96 Ohshima et al. 204 01/07/97 Smalley 204 157.41 05/15/95 AC 5,591,312 06/05/95 248 05/06/97 Ebbesen et al. 264 AD 5,626,812 02/18/97 05/19/98 Olk 204 173 ΑE 5,753,088 FOREIGN PATENT DOCUMENTS Translation Document Class Subclass Yes | No Number Date Country OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) CA Charlier, J.-C., Ebbesen, T.W., and Lambin, P.; Structural and electronic properties of pentagon-1L heptagon pair defects in carbon nanotubes, Phys. Rev. B, 1996. 53(16): p. 11108-11113. Chico, L., et al.; Pure Carbon Nanoscale Devices: Nanotube Heterojunctions, Phys. Rev. Lett., 1996. CB 76(6): p. 971-974. CC Dunlap, B.I.; Connecting carbon tubules, Phys. Rev. B, 1992. 46(3): p. 1933-1936. Dresselhaus, M.S., Dresselhaus, G. and Eklund, P.C.; Science of Fullerenes and Carbon Nanotubes, CD 1996, San Diego: Academic Press p. 902-905. Heyd et al., Uniaxial-Stress effects on the electronic properties of carbon nanotubes, March 15,1997, CE Physical Review B, Vol.55, Number 11 pp6820-6823. CF Stephan et al., Curvature- induced bonding changed in carbon nanotubes investigated by electron energyloss spectrum, May 15, 1996, Physical Review B, Vol. 53, No. 20, pp 13824-13829. Yakobson, B.I. and Smalley, R.E.; Fullerene Nanotubes: $C_{1,000,000}$ and Beyond, American Scientist, 1997. CG **85**(4): p. 324-337. CH Yakobson, B.I.; Mechanical relaxation and "intramolecular plasticity" in carbon nanotubes, Appl.

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